

DIRECTIVES MANAGEMENT PROGRAM

Preparation and Issuance of Directives

APPROVAL/TRANSMITTAL

This manual section prescribes OIG policies and procedures concerning the preparation and issuance of OIG directives, IG Bulletins, and Staff Memoranda. This directive has been revised to require the review and numbering by IMD of all IG Bulletins and Staff Memoranda prior to issuance. IG Bulletins will be incorporated into the appropriate manual section within 30 days of issuance. This supersedes IG-1121, dated November 19, 1996, and Staff Memorandum No. M-98-12-1121, dated May 12, 1998. Remove and destroy previous editions.

ROGER C. VIADERO
Inspector General

A. TYPES/DESCRIPTIONS OF OIG DIRECTIVES

1. IG Manual sections are used to issue policies, procedures, and standards that are permanent in nature and have general applicability to OIG audit, investigative, or administrative activities.
2. IG Bulletins are used to issue policies, procedures, and standards or amend IG manual sections, in an expedient manner. IG Bulletins are also used to issue interim or temporary policy such as a pilot program. All IG Bulletins will be sent to IMD for review and assignment of a sequential number prior to approval and signature by the IG. IG Bulletins will be incorporated into the OIG Manual within 30 days of their issuance.
3. Staff Memoranda are used to provide needed information or instructions to assist employees in performing OIG audit, investigative, or administrative activities. This guidance may be in the form of technical, operational, or administrative instruction. Staff Memoranda may be designated for an interim period to accomplish a specific project or goal. A Staff

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Memorandum generally relates to the operations of a single OIG component; however, when it affects several OIG components, Staff Memoranda will be coordinated with those affected. The memorandum is also used to transmit handbooks that provide lengthy, detailed, and/or technical guidance pertaining to a particular subject, generally the type that must be referred to on a daily or frequent basis. All Staff Memoranda will be sent to IMD for review and assignment of a sequential number prior to approval and signature by the AIG/A, AIG/I or AIG/PD&RM.

B. BASIC RESPONSIBILITIES. The development and maintenance of OIG directives requires varying degrees of interoffice coordination, depending on the content of the particular directive. The outline below sets forth the basic responsibilities for preparing, coordinating, and approving (signing) OIG directives, IG Bulletins, Staff Memoranda, and any revisions thereof.

<u>Type of Issuance</u>	<u>Preparation</u>	<u>Coordination/Clearance*</u>	<u>Signature Approval</u>
IG Manual)) IG Bulletins)	OIG manager with primary interest <u>1/</u>	All AIG's, Deputy IG, IG Counsel, D/IMD D/ID	IG
Staff AIG Memoranda	OIG manager with primary interest <u>1/</u>	Directly affected OIG component Deputy IG, AIG/PD&RM, D/IMD, D/ID	
Audit Guides, Investigative Instructions	AIG with primary interest	As appropriate	AIG

* The exception to this is when a distribution/ mailing list is revised (i.e. IG-7217 and IG-8611) and there are no other changes in the directive, the clearance process will be limited to the AIG responsible for that area and the IG.

1/ AIG, RIG, SAC, DD, IG Counsel, or Director, Inspection Division (D/ID)

C. GENERAL ADMINISTRATIVE FEATURES

1. Numbering System

a. The Directives Manager is responsible for assigning a sequential number, ensuring that the subject matter code coincides with the directive and/or administrative file number (see IG-2141).

b. Numeric Code. The numeric code assigned to directives varies according to the type of issuance as indicated below.

(1) IG Manual. The four-digit section number that follows the IG code is the file number. File numbers and titles are determined from the Master Outline (IG Manual 1113) which assigns four-digit numbers to groupings of related subject matter. Each four-digit number may be used to code, file, and retrieve directives, correspondence, and other material related to a specific subject.

(2) IG Bulletin and Staff Memorandum. Each IG Bulletin and Staff Memorandum is assigned a number for identification and control purposes. The number is composed of four elements:

(a) The letter code for the type of issuance as follows.

IG-	<u>I</u> nspector <u>G</u> eneral
A-	Assistant Inspector General for <u>A</u> udit
I-	Assistant Inspector General for <u>I</u> nvestigations
M-	Assistant Inspector General for Policy Development and Resources <u>M</u> anagement
C-	IG <u>C</u> ounsel
ID-	<u>I</u> nspection <u>D</u> ivision

(b) The last two digits of the fiscal year in which it is issued.

(c) The next sequential number of the issuance series beginning with "1" for the first issuance of each fiscal year.

(d) A four-digit subject matter code.

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When an issuance relates to an IG Manual section, use the four-digit number of the manual section as the subject matter code. Otherwise use an appropriate code number similar to those found in IG-2141, File Numbers for Correspondence. This provides a means for filing all IG Bulletins and Staff Memoranda related to a specific subject in one place.

Examples: Inspector General Bulletin No. M-00-1-3720
(First Bulletin prepared by PD&RM in FY 2000.
Subject pertains to EEO matters.)

Staff Memorandum No. M-00-1-2500
(First Staff Memorandum prepared by PD&RM in
FY 2000. Subject pertains to ADP.)

A copy of each signed IG Bulletin and Staff Memorandum issued must be provided to PD&RM/IMD/PD&IB for the master file.

c. Filing Instructions. As new or updated manual sections are issued, remove and destroy previous editions. Retain only current directives in a three-ring, loose-leaf binder, filed in numerical order. File each IG Bulletin or Staff Memorandum in front of the IG Manual section to which it pertains or in numerical order according to file number.

2. Format. The format instructions for IG Manual sections are contained in exhibit A and those for IG Bulletins and Staff Memoranda are in exhibit B. Also see samples in exhibits C and D.

3. Distribution. 10 copies of each issuance will be sent to each region and a copy to each AIG, Deputy AIG, Chief Counsel, Director, Inspection Division, and Division Head. The Administrative Office may make additional copies as needed. The directives are available on intranet at www.oig.usda.gov.

D. PROCEDURES

1. Preparation. Each AIG, D/ID, or the IG Counsel is responsible for preparation of drafts of proposed or revised directives, IG Bulletins, and Staff Memoranda to ensure the issuances related to their area of responsibility are complete, accurate, and current as to law, regulation or policy. Final drafts of proposed or revised IG Manual sections, IG Bulletins, and Staff Memoranda are submitted to the Directives Manager for processing and to

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ensure that drafts have been prepared in accordance with these guidelines. IG Manuals and IG Bulletins are signed by the IG; Staff Memoranda are signed by the issuing AIG, Chief Counsel, or Director, Inspection Division.

2. Review and Clearance. The Directives Manager will maintain backup files containing previous drafts and review and clearance documentation of IG Manual sections, IG Bulletins, and Staff Memoranda.

3. Printing and Distribution. The Directives Manager will arrange for printing and distribution of all IG Manual sections, IG Bulletins, and Staff Memoranda.

4. Administration of OIG Directives Management Program. The AIG/PD&RM will:

- a. provide guidelines for preparation, issuance, and maintenance of OIG directives;
- b. maintain the master outline for coding subject matter;
- c. maintain a master file containing a copy of all current OIG directives, IG Bulletins, and Staff Memoranda;
- d. maintain the official historical files and background material of previously issued IG Manual sections, IG Bulletins, and Staff Memoranda;
- e. review each directive prior to signature to ensure consistency with OIG policy, Department regulations, and Federal statutes and policies;
- f. ensure that a reserve stock of current IG Manual sections and IG Bulletins is maintained at headquarters. Copies of the IG Manual sections may be ordered as necessary from the Director, RMD, Attn: Administrative Services Branch;
- g. publish IG Manual sections, IG Bulletins, and Staff Memoranda on the OIG Intranet Web site; and
- h. ensure that the IG Manual sections are reviewed on a 2-year cycle to determine whether the information contained therein is still correct as to law, regulation, or policy.

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5. Incorporation. All IG Bulletins should be incorporated into the IG Manual section within 30 days of their issuance.

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Format for IG Manual Sections

1. Page Design

a. Chapter/section title. The chapter and section titles appear only on the first page of each manual section (form OIG-1121). The chapter title is typed in capital letters, and the section title is typed with the first letter of each word capitalized. Both are spaced to end at the right typing margin.

b. Table of Contents. Prepare for directives over 10 pages and place at the beginning of the directive.

c. Narrative. If the table of contents is eliminated, begin the narrative two lines below the signature block. If the table of contents is included, begin the narrative on the following page.

d. Page identification. On odd numbered pages, the manual code number is placed in the top, right corner. On even numbered pages, it is placed in the top, left corner.

e. Page numbers. The text pages of manual sections are numbered 2, 3, 4, etc., at the bottom center of each page. (The number "1" is omitted from the first page.) Exhibits are identified by a capital letter and numbered A(1), A(2), etc., at the top of the page.

f. Page dating. On odd numbered pages, the date (month and year) is placed in the lower right corner. On even numbered pages, the date is placed in the lower left corner.

2. Format. An outline format will be used with indented paragraphs, identified by alternating letters and figures (A, B, 1, 2, a, b), to show procedural details as separate steps.

3. Headings

a. Major headings begin at the left margin and are typed in capital letters (block caps).

b. Paragraph headings. All numbered paragraphs will have headings. Capitalize (initial caps) the first letter of each word in the heading of a numbered paragraph. Major and numbered headings are underlined and listed in the table of contents.

Exhibit A(2)
of IG-1121

c. Subparagraph headings help the reader find specific subjects but are not required. These headings may be listed in the table of contents. In a sequence of subparagraphs, either all or none will have headings.

d. Punctuation

(1) Headings and subheadings may end with a period when followed on the same line by text or may run into the text without punctuation (as shown above).

(2) After a heading that does not have text on the same line, no punctuation is needed.

4. Paragraphs and Subparagraphs

a. Numbered paragraphs follow major headings and are typed in block style.

b. Subparagraphs are indented as shown in this paragraph. When a paragraph is subdivided, it must have at least two subdivisions. When paragraphs are subdivided, numbered, and lettered, they fall in the following sequence:

=====

A.

1.

2.

a.

b.

(1)

(2)

(a)

(b)

1.

2.

a.

b.

(1)

(2)

(a)

(b)

B.

=====

5. Abbreviations/Acronyms. For acronyms that are not commonly known, follow correspondence rules concerning the use of acronyms. Use abbreviations and acronyms judiciously. Exhibits containing a list of abbreviations will be eliminated.

6. Exhibits (blank forms, tables, listings, etc.). Described and placed at the end of the section or chapter that relates and identified on the top line of each page as:

When an exhibit consists of more than one page, consecutive pages are numbered as A(1), A(2), etc., of IG-xxxx. On odd numbered pages, the issuing point code letters and file number appear in the top, right corner and on even numbered pages, at the top left corner.

Do not include, as an exhibit, external issuances such as laws, Federal regulations, departmental regulations, etc., which can just as effectively be covered by reference.

Format for IG Bulletins and Staff Memoranda

Each IG Bulletin and Staff Memorandum should generally contain the following captions and/or items.

1. Type of Issuance and Number. Contact PD&RM for this number which will be assigned in accordance with the procedures in section C of this manual section. In addition to a caption on the first page, each succeeding page should contain the issuance number in the upper right corner.
2. Subject/Title. A brief title accurately describing the subject of the IG Bulletin or Staff Memorandum.
3. Distribution. Identify the intended audience. Copies of all IG Bulletins and Staff Memoranda will be distributed to the IG, Deputy IG, AIG/A, AIG/I, AIG/PD&RM, IG Counsel, and AO's. The office responsible for preparing the issuance determines any additional distribution.
4. Purpose. A statement of the reasons the document is being issued, appropriate background information, and a summary of the contents.
5. Authority. A citation to the appropriate legal authority(s), including the IG Act of 1978, as amended, and other laws, regulations, and USDA and OIG issuances.
6. Policy. A statement of the specific OIG policies being promulgated. Each IG Bulletin and Staff Memorandum will contain appropriate cross-references to established OIG policies in the OIG Manual or other issuances if such policies are affected by this directive.
7. Procedures. A description of the specific procedures being established to implement OIG policy.
8. Paragraphs and subparagraphs. Contain specific captions which are capitalized and underscored.
9. Expiration date. The date issuance expires.
10. Page numbers. Place a page number at the bottom center of each page, except for the first page.

S A M P L E

Exhibit C
of IG-1121

DATE: (Date signed)

INSPECTOR GENERAL BULLETIN NO.: B-00-X-XXXX
(Assigned by Directives Manager, PD&RM/IMD/PD&IB. See section C.)

SUBJECT: Agency Policy Statement on Sexual Harassment

DISTRIBUTION: All OIG employees.

PURPOSE: This is to remind all employees of the Office of Inspector General's (OIG) policy on sexual harassment in the workplace.

BACKGROUND: Sexual harassment is deliberate or repeated unsolicited verbal comments, gestures, or physical contacts of a sexual nature which are unwelcome.

AUTHORITY: Civil Rights Act Of 1964 (Title VII).

POLICY: Sexual harassment is unacceptable conduct in the workplace and will not be condoned in OIG. I expect all OIG managers and supervisors to take prompt action on complaints of sexual harassment and either to see that such actions cease or that appropriate disciplinary action is administered.

PROCEDURES

1. Employees who are subjected to sexual harassment should tell the offender that the conduct is unwelcome and request that the behavior not be repeated. If the harassment persists or assistance is needed to remedy the problem, the employee should report the conduct to the offender's supervisor.

2. ---

EXPIRATION DATE: This Bulletin will remain in effect until incorporated in the IG Manual or otherwise canceled.

(NAME IN CAPS)
Inspector General

S A M P L E

Exhibit D
of IG-1121

DATE: (Date signed)

STAFF MEMORANDUM NO.: M-00-X-XXX
(Assigned by Directives Manager, PD&RM/IMD/PD&IB. See section C.)

SUBJECT: Shutdown Procedures for the Headquarters Computer System Network

DISTRIBUTION: All OIG Headquarters employees.

PURPOSE: Advise computer users of procedures to be followed in the event of a shutdown of the Headquarters Computer System Network.

AUTHORITY: Inspector General Act of 1978, as amended.

PROCEDURES

1. Scheduled Shutdowns. The Systems Administrator will notify the secretaries to the Inspector General and each Assistant Inspector General. The secretaries will coordinate the time schedule with the appropriate managers. Once a time has been established, the following will take place.

a. ---

b. ---

2. Emergency Shutdowns. When emergency shutdowns are necessary, the Systems Administrator or other IRMP&OB staff members will follow as many of the above procedures as possible, depending on the urgency of the problem. When the network is back on-line, the aforementioned secretaries will be notified. If you have any questions, please call (name) on 202 720-xxxx.

EXPIRATION DATE: This memorandum will remain in effect until canceled.

(NAME IN CAPS)
Assistant Inspector General
for Policy Development and Resources Management

